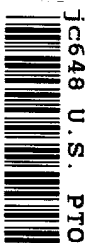


09/27/01



jc648 U.S. PTO

09-28-01

A

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 533958-005

First Inventor Danny E. Davis

Title MACROCAPSULES CONTAINING MICROENCAPSULATED  
PHASE CHANGE MATERIALS

Express Mail Label No. EL838840179 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 14]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets 0]
5. ☐ Oath or Declaration [Total Pages 3]
  - a. ☒ Unexecuted declaration  
Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_/\_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label 27805 or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

|         |  |           |              |          |              |
|---------|--|-----------|--------------|----------|--------------|
| Name    | Thompson Hine LLP                                    |           |              |          |              |
| Address | 2000 Courthouse Plaza, N.E.<br>10 West Second Street |           |              |          |              |
| City    | Dayton   | State     | Ohio         | Zip Code | 45402-1758   |
| Country | USA  | Telephone | 937-443-6600 | Fax      | 937-443-6635 |

|                   |              |                                   |                     |
|-------------------|--------------|-----------------------------------|---------------------|
| Name (Print/Type) | John F. Kane | Registration No. (Attorney/Agent) | 44815               |
| Signature         | John F. Kane |                                   | Date Sept. 27, 2001 |

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27805

PATENT TRADEMARK OFFICE

PTO/SB/17 (11-00)

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 355.00

**Complete if Known**

|                      |                    |
|----------------------|--------------------|
| Application Number   |                    |
| Filing Date          | September 27, 2001 |
| First Named Inventor | Danny E. Davis     |
| Examiner Name        |                    |
| Group Art Unit       |                    |
| Attorney Docket No.  | 533958-005         |

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

20-0809

Deposit  
Account  
Name

Thompson Hine LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description        |
|-------------|-------------|-------------|-------------|------------------------|
| 101         | 710         | 201         | 355         | Utility filing fee     |
| 106         | 320         | 206         | 160         | Design filing fee      |
| 107         | 490         | 207         | 245         | Plant filing fee       |
| 108         | 710         | 208         | 355         | Reissue filing fee     |
| 114         | 150         | 214         | 75          | Provisional filing fee |

Fee Paid

355

SUBTOTAL (1) (\$) 355.00

**2. EXTRA CLAIM FEES**

|                       | Extra Claims | Fee from<br>below | Fee Paid |
|-----------------------|--------------|-------------------|----------|
| Total Claims          | 20           | -20** = 0         | 0        |
| Independent<br>Claims | 2            | -3** = 0          | 0        |
| Multiple Dependent    |              |                   |          |

Large Entity Small Entity

| Fee<br>Code | Fee<br>(\$) | Fee<br>Code | Fee<br>(\$) | Fee Description   |
|-------------|-------------|-------------|-------------|---|
| 103         | 18          | 203         | 9           | Claims in excess of 20  |
| 102         | 80          | 202         | 40          | Independent claims in excess of 3                             |
| 104         | 270         | 204         | 135         | Multiple dependent claim, if not paid                         |
| 109         | 80          | 209         | 40          | ** Reissue independent claims<br>over original patent         |
| 110         | 18          | 210         | 9           | ** Reissue claims in excess of 20<br>and over original patent |

SUBTOTAL (2)

(\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large<br>Entity<br>Fee<br>Code | Large<br>Entity<br>Fee<br>(\$) | Small<br>Entity<br>Fee<br>Code | Small<br>Entity<br>Fee<br>(\$) | Fee Description   | Fee Paid |
|--------------------------------|--------------------------------|--------------------------------|--------------------------------|---|----------|
| 105                            | 130                            | 205                            | 65                             | Surcharge - late filing fee or oath   |          |
| 127                            | 50                             | 227                            | 25                             | Surcharge - late provisional filing fee or<br>cover sheet                     |          |
| 139                            | 130                            | 139                            | 130                            | Non-English specification   |          |
| 147                            | 2,520                          | 147                            | 2,520                          | For filing a request for ex parte reexamination                               |          |
| 112                            | 920*                           | 112                            | 920*                           | Requesting publication of SIR prior to<br>Examiner action                     |          |
| 113                            | 1,840*                         | 113                            | 1,840*                         | Requesting publication of SIR after<br>Examiner action                        |          |
| 115                            | 110                            | 215                            | 55                             | Extension for reply within first month  |          |
| 116                            | 390                            | 216                            | 195                            | Extension for reply within second month                                       |          |
| 117                            | 890                            | 217                            | 445                            | Extension for reply within third month  |          |
| 118                            | 1,390                          | 218                            | 695                            | Extension for reply within fourth month                                       |          |
| 128                            | 1,890                          | 228                            | 945                            | Extension for reply within fifth month  |          |
| 119                            | 310                            | 219                            | 155                            | Notice of Appeal  |          |
| 120                            | 310                            | 220                            | 155                            | Filing a brief in support of an appeal  |          |
| 121                            | 270                            | 221                            | 135                            | Request for oral hearing  |          |
| 138                            | 1,510                          | 138                            | 1,510                          | Petition to institute a public use proceeding                                 |          |
| 140                            | 110                            | 240                            | 55                             | Petition to revive - unavoidable  |          |
| 141                            | 1,240                          | 241                            | 620                            | Petition to revive - unintentional  |          |
| 142                            | 1,240                          | 242                            | 620                            | Utility issue fee (or reissue)  |          |
| 143                            | 440                            | 243                            | 220                            | Design issue fee  |          |
| 144                            | 600                            | 244                            | 300                            | Plant issue fee   |          |
| 122                            | 130                            | 122                            | 130                            | Petitions to the Commissioner   |          |
| 123                            | 50                             | 123                            | 50                             | Processing fee under 37 CFR 1.17(q)   |          |
| 126                            | 180                            | 126                            | 180                            | Submission of Information Disclosure Stmt                                     |          |
| 581                            | 40                             | 581                            | 40                             | Recording each patent assignment per<br>property (times number of properties) |          |
| 146                            | 710                            | 246                            | 355                            | Filing a submission after final rejection<br>(37 CFR § 1.129(a))              |          |
| 149                            | 710                            | 249                            | 355                            | For each additional invention to be<br>examined (37 CFR § 1.129(b))           |          |
| 179                            | 710                            | 279                            | 355                            | Request for Continued Examination (RCE)                                       |          |
| 169                            | 900                            | 169                            | 900                            | Request for expedited examination<br>of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

**SUBMITTED BY**

Name (Print/Type) John F. Kane

Signature

Registration No.  
(Attorney/Agent)

44,815

**Complete (if applicable)**

Telephone 937-443-6816

Date September 27, 2001

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